



## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(51) International Patent Classification <sup>6</sup> : G06F 17/40, 17/60	A1	(11) International Publication Number: WO 95/08810
		(43) International Publication Date: 30 March 1995 (30.03.95)

(21) International Application Number: PCT/AU94/00559

(22) International Filing Date: 20 September 1994 (20.09.94)

(30) Priority Data:  
PM 1315 20 September 1993 (20.09.93) AU(71) Applicant (for all designated States except US): EMPOWER  
INFORMATION TECHNOLOGY PTY LIMITED  
[AU/AU]; 132 Louisa Road, Birchgrove, NSW 2041 (AU).

(72) Inventor; and

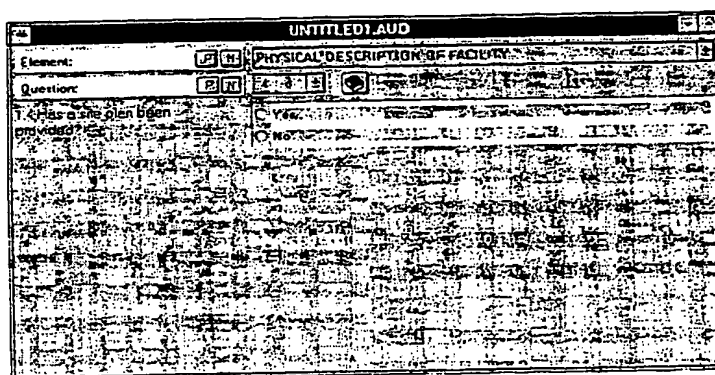
(75) Inventor/Applicant (for US only): WRIGHT, Gregory, Allan  
[AU/AU]; 1/1-7 Arthur Avenue, Cronulla, NSW 2230 (AU).(74) Agent: YOUNG, Philip, Claude; Wilson & Young, 225  
Lawrence Street, Alexandria, NSW 2015 (AU).(81) Designated States: AU, CA, CN, JP, US, European patent (AT,  
BE, CH, DE, DK, ES, FR, GB, GR, IE, IT, LU, MC, NL,  
PT, SE).

Published

With international search report.

(54) Title: AUDITING SYSTEM

YES / NO



(57) Abstract

A method of auditing using a data processing apparatus having an interface means is disclosed. The method comprises the steps of: (1) providing the data processing apparatus with an auditing procedure having a plurality of 5 questions to be answered; (2) inputting into the data processing apparatus, by the interface means, information data regarding the auditing procedure which selects a menu to be followed during the audit, the selected menu providing the plurality of questions to the interface means with at least one question at a time; (3) inputting into the data processing apparatus, by the interface means, information data in response to the plurality of questions to be answered, the information data in response providing a further question from the menu, or providing at least one supplementary question.

**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AT	Austria	GB	United Kingdom	MR	Mauritania
AU	Australia	GE	Georgia	MW	Malawi
BB	Barbados	GN	Guinea	NE	Niger
BE	Belgium	GR	Greece	NL	Netherlands
BF	Burkina Faso	HU	Hungary	NO	Norway
BG	Bulgaria	IE	Ireland	NZ	New Zealand
BJ	Benin	IT	Italy	PL	Poland
BR	Brazil	JP	Japan	PT	Portugal
BY	Belarus	KE	Kenya	RO	Romania
CA	Canada	KG	Kyrgyzstan	RU	Russian Federation
CF	Central African Republic	KP	Democratic People's Republic of Korea	SD	Sudan
CG	Congo	KR	Republic of Korea	SE	Sweden
CH	Switzerland	KZ	Kazakhstan	SI	Slovenia
CI	Côte d'Ivoire	LI	Liechtenstein	SK	Slovakia
CM	Cameroon	LK	Sri Lanka	SN	Senegal
CN	China	LU	Luxembourg	TD	Chad
CS	Czechoslovakia	LV	Latvia	TG	Togo
CZ	Czech Republic	MC	Monaco	TJ	Tajikistan
DE	Germany	MD	Republic of Moldova	TT	Trinidad and Tobago
DK	Denmark	MG	Madagascar	UA	Ukraine
ES	Spain	ML	Mali	US	United States of America
FI	Finland	MN	Mongolia	UZ	Uzbekistan
FR	France			VN	Viet Nam
GA	Gabon				

## AUDITING SYSTEM

The present invention relates to auditing and, in particular, to an auditing system and an auditing method which enables the end user to create procedures and gather relevant data, process, format and printout published reports in various forms that ensure that the  
5 information is accessible to all concerned parties or authorities.

## BACKGROUND OF THE INVENTION

In all businesses and industries where there are legislative, regulatory, quality and/or industry compliance regulations in force, it is necessary to conduct audits/reviews to obtain collated information which is used to indicate that the particular company or organisation complies  
10 with the legislative regulations, quality standards codes of practice and other benchmark requirements.

Such collating of information and relevant data has heretofore been either manual or using computerised systems with fixed procedural structures where customisation can only be varied by altering the question but not normally the answer or the number of answer types in  
15 such a manner as to be able to create a data base of information.

One such auditing system and method which is known as the Audit Master (TM), and which is marketed by Utilicom, Inc. Pittsford, New York 14534 USA, uses computer software to provide a template for the auditor to use to compile the relevant and required information. This system provides a number of different programs which enables the auditor to select the  
20 programs available that results in a somewhat customised program for the particular needs of the operations being audited. However, known auditing systems and methods do not enable the user without using in the main, any computer programming knowledge to interact with the computer software to provide the user with a system which is able to be varied according to the particular requirements of the user, i.e. the computer audit procedure or protocol is unable  
25 to be customised.

## OBJECT OF THE INVENTION

It is an object of the invention to provide an improved auditing system and method of operating same which enables the users to create entirely new audit procedures to add to and vary audit procedures according to their particular requirements using word processing skills.

5

## DISCLOSURE OF THE INVENTION

According to one aspect of the present invention there is disclosed a method of auditing using a data processing apparatus having an interface means, said method comprising the steps of:

- (1) providing said data processing apparatus with an auditing procedure having a plurality of questions to be answered,
- 10 (2) inputting into said data processing apparatus, by said interface means, information data regarding said auditing procedure which selects a menu to be followed during said audit, said selected menu providing said plurality of questions to said interface means with at least one question at a time,
- (3) inputting into said data processing apparatus, by said interface means, information data  
15 in response to said plurality of questions to be answered, said information data in response providing a further question from the menu, or providing at least one supplementary question.

Preferably, the method includes the step of providing a revised procedure, wherein the auditing procedure is varied by the user by means of inputting variables into the data processing apparatus by the interface means.

- 20 In another preferred form, the information data input into the data processing means in response to the plurality of questions is in the form of an answer selected from one of the group containing:

yes/no answer; a multiple choice answer; a narrative text; a single select list answer; or spreadsheet grid answers.

In another preferred form, the method includes the step of providing results to the audit. The results being preferably in printed form.

### BRIEF DESCRIPTION OF THE DRAWINGS

One embodiment of the present invention will now be described with reference to the 5 drawings in which:

Fig. 1 is an example of a screen illustrating a question of the type of a Yes/No question,

Fig. 2 is an example of a screen illustrating a question of the type of a Multiple Choice Check Box

Fig. 3 is an example of a screen illustrating a question of the type of a Narrative Text Input,

10 Fig. 4 is an example of a screen illustrating a question of the type of a Information Response List,

Fig. 5 is an example of a screen illustrating a question of the type of a Single Select List,

Fig. 6 is an example of a screen illustrating a question of the type of a Spreadsheet Grid,

Appendix A is an example of an audit report produced using one embodiment of the present 15 invention,

Appendix B is an example of the procedure followed to produce the report as contained in Appendix A, and

Appendix C is an example of notepad notes associated with the report of Appendix A.

## BEST MODE OF CARRYING OUT THE INVENTION

When carrying out an audit, for example of a Local Government environmental requirement, the audit, the audit is carried out with questions/answers using a computer as the interface and as the data processing apparatus. The audit is preferably conducted using an IBM 5 (Registered Trade Mark) PC or compatible computer which operates with Windows (Registered Trade Mark). When a new audit is to be commenced, an audit procedure is selected from a number of procedures which are available for use. The auditor is required to know the extent of the audit to be carried out and if the audit to be carried out is not available in the audit procedures the auditor can use the apparatus to vary the procedures which are 10 available to obtain a procedure which is suitable for the particular audit. This procedure involves the use of ordinary word processing skills which can revise the procedures according to the individual requirements. This is accomplished by changing the types of questions and answers which are selected.

When the procedure has been selected by the auditor, a menu is provided on the screen which 15 provides a step by step procedure to be followed to answer the number of questions which are required to be answered during the audit.

There are two types of questions in the preferred audit procedure, namely, primary questions and supplementary questions. The primary question is what appears on the audit screen each time a question has been answered or at the commencement of the audit procedure. The 20 primary question should be answered.

Particular answers to some primary questions will trigger the display of a supplementary question on the screen which will appear below the primary question on the audit form. All supplementary questions that are displayed should be answered otherwise the audit cannot be fully completed. At any time, the system can identify and print out all uncompleted 25 questions.

As well as having different types of questions, there are also different types of answers in the procedure. Both primary and supplementary questions can be set up with any one of six different types of answers that cater for the input of each type of information and data that are

likely to be required to be gathered. In order to be able to complete an audit, the different types of answer types include the following;

1. Option buttons, e.g. yes/no/other; black/grey/white/other,
2. Multiple Choice Check Boxes,
- 5 3. Narrative Text,
4. Information Response List,
5. Single Select List, and
6. Spreadsheet Grid.

As well as answering the questions in an audit, an auditor is also required to enter formal  
10 report notes about their findings and observations. The auditor can be required to provide some recommendations on providing solutions or achieving improvements based on their experience.

The system of the preferred embodiment provides the means for entering this information with a series of text editor windows. These text windows display and allow entry of the text  
15 relevant to the question that is currently displayed on the screen. This system provides for a note pad window which is like a scratch pad for the auditor. The text editor can be used to enter the auditor's own notes and any information that can be required to be referred to justify the findings or observations. For example, it is possible to record the name of a person who gave some "off the record" information or details of some unofficial documentation.

20 There is also provision for report notes which can be entered in the report notes text editor window. These report notes are the formal notes that appear in the final audit report.

If there are recommendations to be made relating to the findings of the current question they can be entered through a recommendations text editor window which is available when answering each of the questions.

The different types of answers which are in the procedure are to both primary and 5 supplementary questions.

An option button answer as illustrated in Fig. 1 is the type of answer which is used mainly for questions that require a simple yes or no, true or false, black or white style answer. This type of option button also triggers supplemental questions that require only one answer from a list of options. There is no limit on the option selection.

10 A Multiple Choice Check Box as illustrated in Fig. 2 is the type of question where there is more than one correct answer from a list of possible answers. Unlike the Yes/No option buttons, a number of multiple check boxes can be selected at any one time to any one question.

A Narrative Text Input as illustrated in Fig. 3, includes the types of answers to some audit 15 questions which cannot be predicted in advance. In these cases it is up to the auditor to make the appropriate observations or enquiries relevant to the questions and to record their findings in their own words. For this purpose, this answer type provides a text entry box next to the question where the responses can be typed in through a keyboard.

An Information Response List as illustrated in Fig. 4 is used if a comprehensive range of 20 related information is required by the audit procedure. The most common example being the detailed location of a site. In this case, instead of including a separate question for each item of information, the procedure uses one question with an Information Response List where each item in the list represents each piece of information required.

In using the site location as an example, the Information Response List could include items 25 such as "street address, postal address, map co-ordinates, local area, deposited plan number, property ID number, land tenure type, etc". The Information Response List allows the auditor



to provide a separate answer to each item in the list while only requiring one question in the procedure. The information is also logically grouped for easy access and review.

A single select list as illustrated in Fig. 5 is used when there is a large list of known possible answers and the auditor is required to select only one item as the answer to the procedure 5 question. For example, the procedure can ask the auditor to categorise the site by its usage. In this case, the procedure would include a comprehensive list of land usage types in a Single Select List for the auditor to choose from.

A Spreadsheet Grid answer as illustrated in Fig. 6 provides a means to enter structured information in a standard spreadsheet layout containing rows and columns. Depending on the 10 information required, the spreadsheet can have column titles or can have both column and row titles.

The procedure will define the base grid with a set number of columns and rows. The user can add extra columns and rows if required. Extra columns and rows added by the user can also be deleted but rows defined by the procedure cannot be deleted.

15 Once all the questions have been answered and the audit has been completed, the results of the audit are collated by a computer can be printed out in hard copy or exported to a word processing package using normal techniques.

The foregoing describes only one embodiment of the present invention, and modifications obvious to those skilled in the art can be made thereto without departing from the scope of the 20 present invention.

8.

**APPENDIX A****Audit Summary**

This Audit Report was prepared and authorised by:  
R. Roig

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE

<b>Audit Title:</b>	Cactus Halon Compliance
<b>Facility Name:</b>	Cactus Falls
<b>Site Address:</b>	34, Falls Road, Petersham, Sydney, NSW Australia
<b>Site Occupier:</b>	Cactus Ice Cream Ltd
<b>Site Owner:</b>	Cactus Inc. Walnut Creek, California
<b>Main Contact:</b>	Gregg Wright
<b>Telephone:</b>	61 2 456 8765
<b>Fax:</b>	61 2 456 0001
<b>Mobile:</b>	015 234 765
<b>Facility Personnel:</b>	K Condon
<b>Audit Leader:</b>	G Brown
<b>Telephone:</b>	61 2 836 4367
<b>Fax:</b>	61 2 836 9843
<b>Mobile:</b>	015 382 56R
<b>Audit Team:</b>	R Roig, A Little
<b>Date Audit Started:</b>	30/08/94
<b>Date Audit Completed:</b>	
<b>Audit File Name:</b>	cactusic.aud
<b>Protocol Description:</b>	Example of sophisticated protocol using most answer types with comprehensive Guide and Aid notes.
<b>Version No:</b>	2
<b>File Name:</b>	ozone.pro

9.

---

**Element 1 : OZONE PROTECTION ACT 1989**

---

**Question 1**

---

*Does the site purchase "controlled substances" (see Guide Notes) ?*

Answer: Yes

***Name the authorised officer, authorisation number, expiry date of authorisation:***

Answer:

Officer	Number	Expiry date
K. Condon	1234	4 / 9 / 94

Notes:

The procedure for purchasing of controlled substances was well documented and Mr Condon had passed a training course in its operational implementation.

Recommendations:

In view of the penalties of infringing the relevant legislation, it would seem prudent to have more frequent training courses.

**Question 2**

---

***Does the site keep the required records concerning the controlled substance and keep them for two or more years? (See Guide Notes)***

Answer: Yes

***Describe how this was verified, please also indicate where these are stored:***

Answer:

The auditor sighted these in the office of the Health and Safety Officer.

Notes:

All such records are kept in a site manual of environmental impacts

Recommendations:

The procedures were based on unamended legislation. The company should put in regular update procedures.

10.

**Question 3**

**Provide details of authorised personnel, and/or contractor(s), who carry out "restricted activities" (see Guide Note)**

Answer:

Name	Auth. No.	Expiry Date	Special details
J. Twigg	EP 678	10 / 6 / 96	Fully accredited

Notes:

The corporation appears vulnerable by relying on one contractor.

Recommendations:

The Corporation should have a minimum of two contractors to provide backup if Mr Twigg is absent.

**Question 4**

**Provide details of the authorisation of the site's supplier of controlled substances.**

Answer:

Name	Address	Auth No.	Expiry Date	Special Details
Artic Ozone	20 Berg St Redfern 2000	EP645	1 April 2000	Fully certified

Recommendations:

In view of the capital investment at risk, it would be prudent for the Corporation to have an alternative supplier for cost comparison.

**Question 5**

**Do all controlled substances suppliers containers have appropriate labelling when being returned to the supplier of that substance?**

Answer: Yes

Describe how this was verified:

11.

Answer:

Auditor spoke to the Receiving Dock Manager at Ozone Recycle Ltd who confirmed that Cactus Ice Cream were excellent in this requirements.

Recommendations:

An audit should be undertaken on this supplier to protect the Board in the event of an incident.

### **Question 6**

---

Doc Ref: 1

---

***Does the site have a procedure to decommission and replace all halon equipment or portable halon fire extinguishers before 1996?***

Answer:

Yes

***Please give brief description of this procedure:***

Answer:

As part of the international policy of Cactus Dessert Inc., the US parent, the local subsidiary is operating an active replacement program.

Notes:

The US policy is well prepared and is promoted throughout the organisation.

Recommendations:

More attention should be given to local legislation.

### **Question 7**

---

***Has the site informed in writing, the Fire Protection Industry Association of Australia of the location and capacity of any halon flooding installation?***

Answer:

No

Notes:

No record was available and the staff seemed unaware of this requirement.

12.

Recommendations:

Notification must be attended to immediately.

**Question 8**

---

Doc Ref: 2

---

***Is all Halon flooding equipment tested in a manner that will not result in the release of halon to the atmosphere?***

Answer:

No

***Please give details:***

Answer:

A release is recorded in the Log for the date of 23/5/94

Notes:

Staff had not received training and carried out the test without supervision.

Recommendations:

Immediate training to be given to all staff.

**Question 9**

---

***Since the last audit, has any fixed halon flooding system been discharged during the last year or since the last audit during a non-fire incident?***

Answer:

Yes (give date)

***Was the Fire Protection Industry Association informed within 30 days of the incident:***

Answer:

Yes (give date of notification) – 30/4/93

13.

**Question 10**

---

***Has the site installed any halon flooding systems since March 93, 1991?***

Answer:

No

***Describe how this was verified:***

Not Answer:

Notes:

The staff followed only international procedures and were not aware of this requirement.

Recommendations:

In addition to training staff, the Corporation should ensure all its suppliers are aware of procedures.

(Jump to: E1Q12)

**Question 12**

---

Doc Ref: 2

---

***Does the site, or its contractors, comply with the relevant code of practice when servicing fixed halon flooding systems?***

Answer:

Yes

***Describe how this was verified:***

Answer:

Auditor inspected the contractor's log covering a checkbox procedure methodology of maintenance.

Notes:

This system was initiated as part of the contractor's due diligence procedures.

Recommendations:

All of Cactus contractors should use this checkbox system.

14.

**Question 13**

---

Doc Ref: 4

---

***Does the site have a procedure that ensures the reclaiming of all halon that would otherwise be released during servicing or decommissioning fixed halon flooding systems equipment?***

Answer:

Yes

***Describe how this was verified:***

Answer:

Part of the international procedure

Notes:

This is an excellent document that should be an industry standard

Recommendations:

Cactus should encourage the industry association to adopt this as an industry standard

---

**Question 14**

***Does the site have written permission from the EPA to continue usage of its portable halon extinguishers?***

Answer:

Not applicable (only if no such extinguishers)

---

**Question 15**

***Are there any differences between current usage and the conditions attached to any label affixed to the portable halon extinguishers?***

Answer:

No

***Describe how this was verified:***

Answer:

Talked to all staff who verified usage as per label



15.

Notes:

Awareness of this issue is part of staff documented training procedures

**Question 13**

---

Doc Ref: 5

---

***Do employees receive written instruction that portable halon fire extinguishers must only be used in the eventuality of a real fire emergency?***

Answer:

Yes

***Describe:***

Answer:

Sighted procedure which is given to all staff in their induction period as well as update every six months via the staff Newsletter.

16.

**APPENDIX B****Element 1 OZONE PROTECTION ACT 1989****Question 1****Does the site purchase "controlled substances" (see Guide Notes)?**

Please circle only one of the following

- Yes

Supplemental

**Name the authorised officer, authorisation number,  
expiry date of authorisation:**

Please enter a response

Officer	Number	Expiry date

- Yes, but there is no authorised officer

Red Flag Trigger

- No

Jump To E1Q6

Supplemental

**Describe how this was verified:**

Please enter a response

For Guide notes see Appendix Guide Notes 1

**Question 2**

**Does the site keep the required records concerning the controlled  
substance and keep them for two or more years? (See Guide Notes)**

Please circle only one of the following

- Yes

Supplemental

Describe how this was verified, please also indicate where these are  
stored:

17.

Please enter a response

- No

Red Flag Trigger

Supplemental

***Detail shortfalls:***

Please enter a response

For Guide notes see Appendix Guide Notes 2

***Question 3***

---

***Provide details of authorised personnel, and/or contractor(s), who carry out "restricted activities" (see Guide Note)***

Please enter a response

Name	Auth. No.	Expiry Date	Special details

For Guide notes see Appendix Guide Notes 3

***Question 4***

---

***Provide details of the authorisation of the site's supplier of controlled substances.***

Please enter a response

18.

Name	Address	Auth No.	Expiry Date	Special Details

For Guide notes see Appendix Guide Notes 4

---

**Question 5**

---

***Do all controlled substances suppliers containers have appropriate labelling when being returned to the supplier of that substance?***

Please circle only one of the following

- Yes

Supplemental

***Describe how this was verified:***

Please enter a response

- No

Red Flag Trigger

Supplemental

***Please give details:***

Please enter a response

- Don't know

Red Flag Trigger

For Guide notes see Appendix Guide Notes 5

---

**Question 6**

---

19.

***Does the site have a procedure to decommission and replace all halon equipment or portable halon fire extinguishers before 1996?***

Please circle only one of the following

- Yes

Supplemental

***Please give brief Description of this procedure:***

Please enter a response

- No

Red Flag Trigger

Supplemental

***Please give details:***

Please enter a response

- Not applicable (there is no such equipment on site)

#### ***Question 7***

---

***Has the site informed in writing, the Fire Protection Industry Association of Australia of the location and capacity of any halon flooding installation?***

Please circle only one of the following

- Yes

Supplemental

***Provide dates of notification for each installation.***

20.

Please enter a response

- No  
Red Flag Trigger
- Don't know  
Red Flag Trigger

For Guide notes see Appendix Guide Notes 6

For Aid notes see Appendix Aid Notes 6

**Question 8**

---

***Is all Halon flooding equipment tested in a manner that will not result in the release of halon to the atmosphere?***

Please circle only one of the following

- No  
Red Flag Trigger  
Supplemental  
***Describe how this was verified:***  
Please enter a response

- No  
Red Flag Trigger  
Supplemental  
***Please give details:***  
Please enter a response

21.

- Don't Know

Red Flag Trigger

For Guide notes see Appendix Guide Notes 7

**Question 9**

---

***Since the last audit, has any fixed halon flooding system been discharged during the last year or since the last audit during a non-fire incident?***

Please circle only one of the following

- Yes (give date)

Supplemental

***Was the Fire Protection Industry Association informed within 30 days of the incident:***

Please circle only one of the following

- Yes (give date of notification)

- No

Red Flag Trigger

- No

Supplemental

***Describe how this was verified:***

Please enter a response

- Don't know

Red Flag Trigger

For guide notes see Appendix Guide Notes 8

For Aid notes see Appendix Aid Notes 8

**Question 10**

---

***Has the site installed any halon flooding systems since March 31, 1991?***

Please circle only one of the following

- Yes

Supplemental

22.

***Was written approval obtained from the EPA?***

Please circle only one of the following

- Yes (give reference number and date)
- No (Please go to question 11)  
Red Flag Trigger
- No  
Jump To E1Q12  
Supplemental

***Describe how this was verified:***

Please enter a response

- Don't know  
Red Flag Trigger  
Jump To E1Q12

For Guide notes see Appendix Guide Notes 9

***Question 11***

---

***Are there any differences between the terms of the approval and what you observe?***

Please circle only one of the following

- Yes  
Red Flag Trigger  
Supplemental

***Please give details:***

Please enter a response



23.

- No

Supplemental

***Describe how this was verified:***

Please enter a response

***Question 12***

---

***Does the site, or its contractors, comply with the relevant code of practice when servicing fixed halon flooding systems?***

Please circle only one of the following

- Yes

Supplemental

***Describe how this was verified:***

Please enter a response

- Yes

Red Flag Trigger

Supplemental

***Please give details:***

Please enter a response

For Guide Notes see Appendix Guide Notes 10

24.

**Question 13**

---

***Does the site have a procedure that ensures the reclaiming of all halon that would otherwise be released during servicing or decommissioning fixed halon flooding systems equipment?***

- Yes

Supplemental

***Describe how this was verified:***

Please enter a response

- No

Red Flag Trigger

Supplemental

***Please give details:***

Please enter a response

- Don't know

Red Flag Trigger

For guide notes see Appendix Guide Notes 8

For Aid notes see Appendix Aid Notes 8

**Question 13**

---

***Does the site have written permission from the EPA to continue usage of its***

25.

***portable halon extinguishers***

Please circle only one of the following

- Yes  
Supplemental  
***Describe how this was verified:***  
Please enter a response

- No  
Red Flag Trigger  
Jump To E1Q15
- Not applicable (only if no such extinguishers)  
Red Flag Trigger

For Guide notes see Appendix Guide Notes 12

***Question 15***

---

***Are there any differences between current usage and the conditions attached to any label affixed to the portable halon extinguishers?***

Please circle only one of the following

- Yes  
Red Flag Trigger  
Supplemental  
***Please give details:***  
Please enter a response

26.

- No

Supplemental

***Describe how this was verified:***

Please enter a response

***Question 16***

---

***Do employees receive written instruction that portable halon fire extinguishers must only be used in the eventuality of a real fire emergency?***

- Yes

Supplemental

***Describe:***

Please enter a response

- No

Red Flag Trigger

For Guide notes see Appendix Guide Notes 13

27.

---

**Guide Notes 1**

---

Purchasers of "controlled substances" must have a current authorisation and must act in accordance with any conditions (c1.12 Ozone Protection Regulation 1991)

The following substances are defined to be "controlled substances" under Ozone Protection Act 1989, namely

- \* Trichlorofluoromethane (CFC 11)
- \* Dichlorodifluoromethane (CFC 12)
- \* Trichlorotrifluoroethane (CFC 113)
- \* Dichlorotetrafluoroethane (CFC 114)
- \* (Mono)chloropentafluoroethane (CFC 114)
- \* Bromochlorodifluoromethane (Halon 1211)
- \* Bromotrichloromethane (Halon 1301)
- \* Dibromotetrafluoroethane (Halon 2402)

(Schedule 1 to Ozone Protection Act)

---

**Guide Notes 2**

---

An authorised purchaser of a controlled substance must:

- \* make records concerning the substance (Clause 13(1), (2) and (3) of the Ozone Protection Regulation);
- \* retain the records for not less than 2 years (cl.13(4)); and
- \* at the request of an EPA authorised officer, make any record so retained available to the authorised officer for inspection (cl.13(1)(b)).

Clauses 13(2) & (3) specify exactly what records must be kept.

27.

---

**Guide Notes 1**

---

Purchasers of "controlled substances" must have a current authorisation and must act in accordance with any conditions (c1.12 Ozone Protection Regulation 1991)

The following substances are defined to be "controlled substances" under Ozone Protection Act 1989, namely

- \* Trichlorofluoromethane (CFC 11)
- \* Dichlorodifluoromethane (CFC 12)
- \* Trichlorotrifluoroethane (CFC 113)
- \* Dichlorotetrafluoroethane (CFC 114)
- \* (Mono)chloropentafluoroethane (CFC 114)
- \* Bromochlorodifluoromethane (Halon 1211)
- \* Bromotrichloromethane (Halon 1301)
- \* Dibromotetrafluoroethane (Halon 2402)

(Schedule 1 to Ozone Protection Act)

---

**Guide Notes 2**

---

An authorised purchaser of a controlled substance must:

- \* make records concerning the substance (Clause 13(1), (2) and (3) of the Ozone Protection Regulation);
- \* retain the records for not less than 2 years (cl.13(4)); and
- \* at the request of an EPA authorised officer, make any record so retained available to the authorised officer for inspection (cl.13(1)(b)).

Clauses 13(2) & (3) specify exactly what records must be kept.

**APPENDIX C*****Element 1 / Question 1***

---

***Does the site purchase "controlled substances" (see Guide Notes)?***

Notepad Notes:

Mr Condon was fully prepared for the interview and seemed to be extremely efficient and reliable

***Element 1 / Question 3***

---

***Provide details of authorised personnel, and/or contractor(s), who carry out "restricted activities" (see Guide Note)***

Notepad Notes:

Mr Twigg appeared unprepared for the meeting. While his answers were satisfactory, I am not sure how reliable this contractor is.

***Element 1 / Question 4***

---

***Provide details of the authorisation of the site's supplier of controlled substances.***

Notepad Notes:

Premises appeared to be very well maintained gives confidence about the organisation.

***Element 1 / Question 5***

---

***Do all controlled substances suppliers containers have appropriate labelling when being returned to the supplier of that substance?***

Notepad Notes:

Mr Peters, Receiving Dock Manager for last twenty years.

32.

***Element 1 / Question 7***

---

***Has the site informed in writing, the Fire Protection Industry Association of Australia of the location and capacity of any halon flooding installation?***

Notepad Notes:

Checked with Officer Fuller at the Association who had no record of such communication.

***Element 1 / Question 8***

---

***Is all Halon flooding equipment tested in a manner that will not result in the release of halon to the atmosphere?***

Notepad Notes:

No training manuals were present in the Computer room area.



## CLAIMS

1. A method of auditing using a data processing apparatus having an interface means, said method comprising the steps of:

(1) providing said data processing apparatus with an auditing procedure having a plurality of questions to be answered,

(2) inputting into said data processing apparatus, by said interface means, information data regarding said auditing procedure which selects a menu to be followed during said audit, said selected menu providing said plurality of questions to said interface means with at least one question at a time,

10 (3) inputting into said data processing apparatus, by said interface means, information data in response to said plurality of questions to be answered, said information data in response providing a further question from the menu, or providing at least one supplementary question.

2. The method according to claim 1, said method including the step of providing a new or revised procedure, wherein the auditing procedure is varied by the user by means of inputting variables into the data processing apparatus by the interface means.

3. The method according to claims 1 or 2, wherein, the information data input into the data processing means in response to the plurality of questions is in the form of an answer selected from one of the group containing:

20 option answer; a multiple choice answer; a narrative text; a single select list answer; or spreadsheet grid answers.

4. The method according to any one of claims 1-3, the method further including the step of providing results to the audit, the results being preferably in printed form.

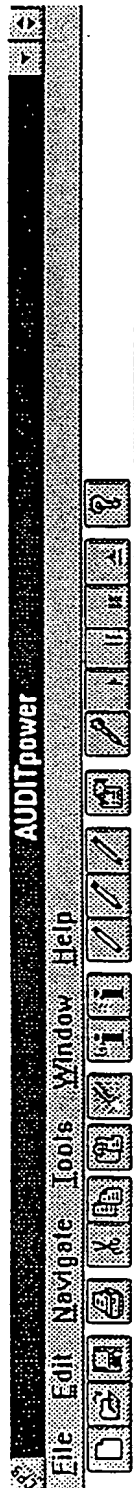
5. A data processing system to enable the formulation of an audit using at least one audit procedure, said system comprising,

a data processing apparatus having said auditing procedure with a plurality of questions to be answered,

5 an interface means for inputting information data into said data processing apparatus, regarding said auditing procedure which selects a menu to be followed during said audit, said selected menu providing said plurality of questions to said interface means with at least one question at a time, and for inputting into said data processing apparatus, information data in response to said plurality of questions to be answered, said information data being in response  
10 to and providing a further question from the menu, or providing at least one supplementary question.

6. A data processing system according to claim 5, wherein said system revises said auditing procedure according to said information data inputted from said interface, said auditing procedure being revised using word processing skills.

YES / NO



UNTITLED1.AUD

PHYSICAL DESCRIPTION OF FACILITY

Element:

Question:

1.4 Has a site plan been provided?

☐ Yes ☐ No

Fig. 1

## MULTIPLE CHOICE CHECKBOX

UNTITLED1.AUD	
Element 2:	LIQUID WASTE MANAGEMENT
Question:	<div>16</div> <div> <input type="checkbox"/> Septic Tank (Refer to Appendix 2 in manual)  <input type="checkbox"/> Sewer Connection  <input type="checkbox"/> Pumpout (provide contractor details)  <input type="checkbox"/> Aerated Septic Tank (give location of effluent disposal area) </div>

Fig. 2

NARRATIVE TEXT

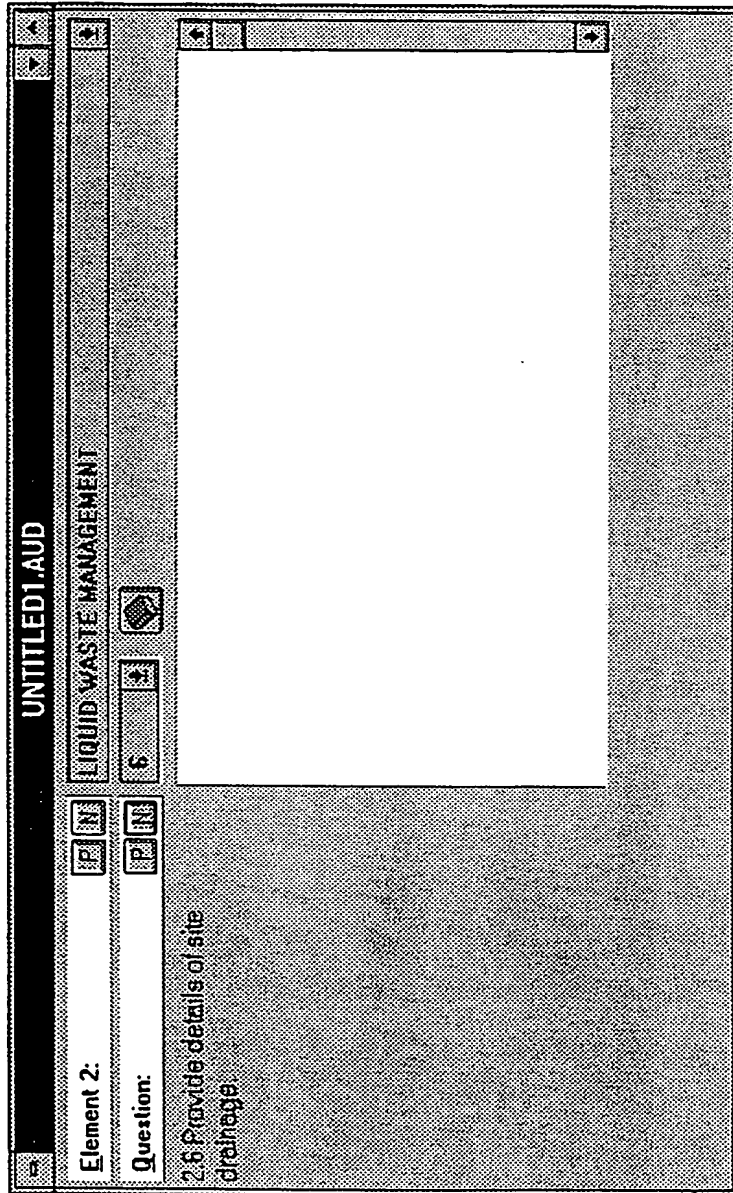
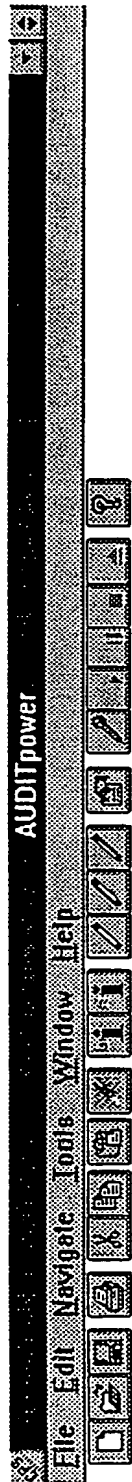


Fig. 3

## INFORMATION RESPONSE LIST

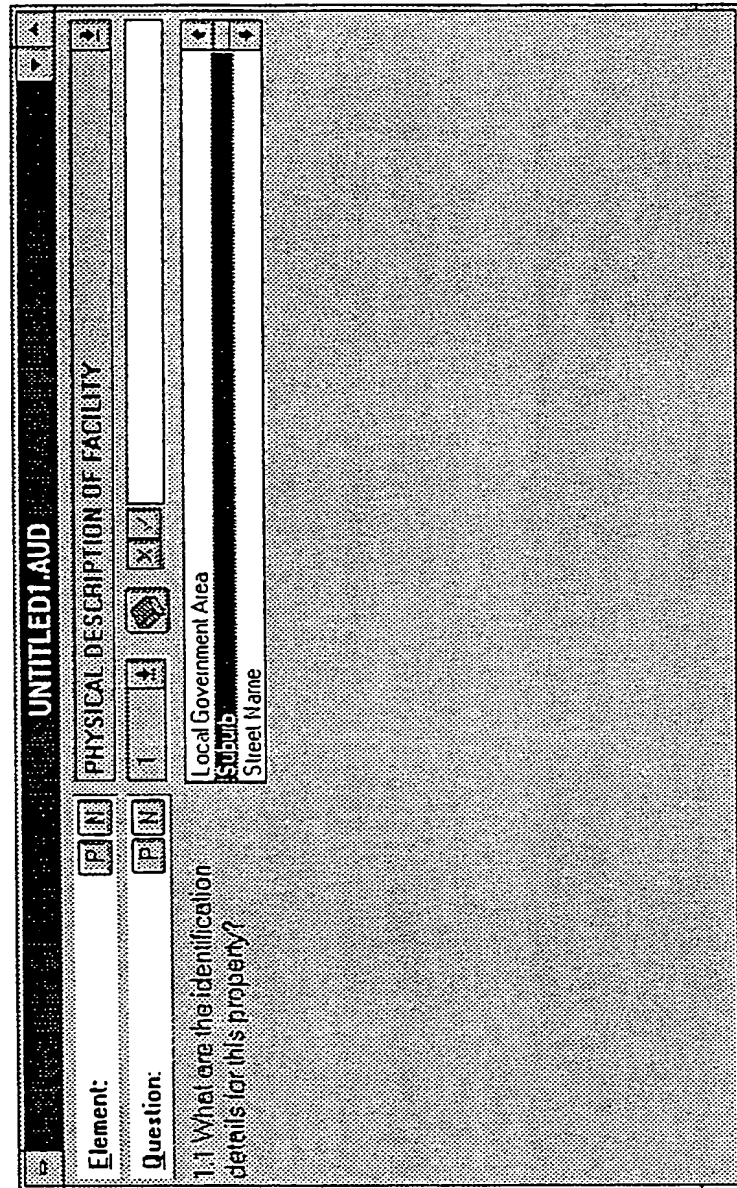
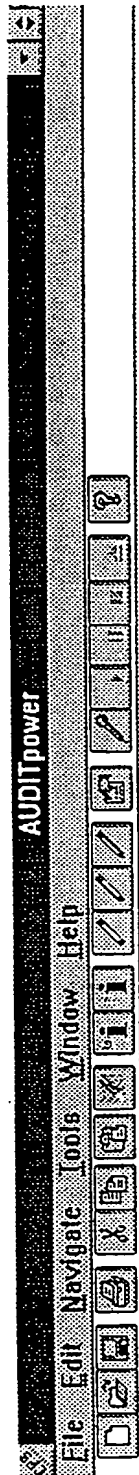
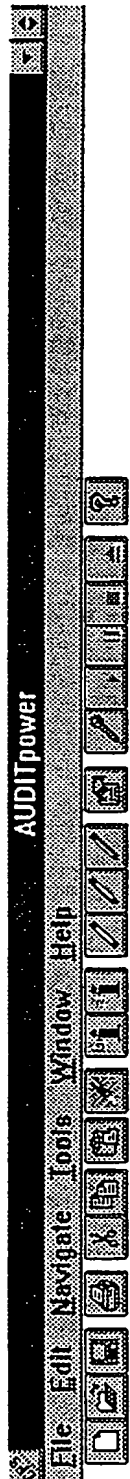


Fig. 4

## SINGLE SELECT LIST



The screenshot shows the main window of the AUDITpower application. The title bar reads 'UNTITLED1.AUD'. The window is divided into several sections:

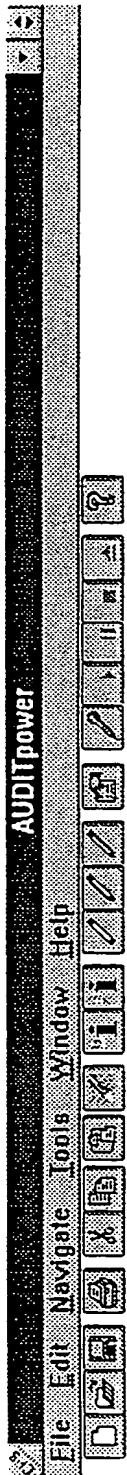
- Element:** A text field with a dropdown arrow, currently showing 'P N'.
- Question:** A text field with a dropdown arrow, currently showing 'P N'.
- PHYSICAL DESCRIPTION OF FACILITY:** A section containing a list of premises categories:
  - Commercial Premises
  - Abattoirs
  - Ambulance
  - Animal Sale Yard
  - Brewery
  - Blackworks
  - Chemical Manufacturer
  - Commercial Premises
  - Concrete Batching
- Question:** A text field containing the question: '1.2 What is the Premises Category for this property?'.

Fig. 5



Fig. 6

SPREADSHEET GRID



UNTITLED1.AUD

LIQUID WASTE MANAGEMENT

Element 2: [P] [N] [24] [P] [N] [24]

Question: 2.24 What liquid wastes are generated at this facility?

TYPE OF WASTE	CATEGORY	QUANTITY	GENERATION
Grease Trap Waste			
Septic Tank Waste			
Bilge/Ballast Waste			



**A. CLASSIFICATION OF SUBJECT MATTER**Int. Cl.<sup>6</sup> G06F 17/40, 17/60

According to International Patent Classification (IPC) or to both national classification and IPC

**B. FIELDS SEARCHED**

Minimum documentation searched (classification system followed by classification symbols)

IPC<sup>(5)</sup> 15/21, 15/74Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched  
AU : IPC as above

Electronic data base consulted during the international search (name of data base, and where practicable, search terms used)

DERWENT JOPAL

COMPENDEX PLUS

CASSIS

**C. DOCUMENTS CONSIDERED TO BE RELEVANT**

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to Claim No.
X	AU,A, 65762/90 (ITT CORPORATION) 23 May 1991 (23.05.91) pages 8,11,12,15,17,18,25,27 and 54	1-6
X	EP,A, 0457000 (HEWLETT-PACKARD COMPANY) 21 November 1991 (21.11.91) column 3 lines 3 to 41, column 5 line 47 to column 6 line 46, column 9 lines 17 to 27	1-6
X	US,A, 4887208 (SCHNEIDER et al.) 12 December 1989 (12.12.89) column 7 lines 4 to 33 (continued)	1,3,5

☒ Further documents are listed  
in the continuation of Box C.☒ See patent family annex.**\* Special categories of cited documents :**

"A" document defining the general state of the art which is not considered to be of particular relevance

"E" earlier document but published on or after the international filing date

"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)

"O" document referring to an oral disclosure, use, exhibition or other means

"P" document published prior to the international filing date but later than the priority date claimed

"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art

"&" document member of the same patent family

Date of the actual completion of the international search  
27 October 1994 (27.10.94)

Date of mailing of the international search report

8 Nov 1994 (8.11.94)

Name and mailing address of the ISA/AU

AUSTRALIAN INDUSTRIAL PROPERTY ORGANISATION  
PO BOX 200  
WODEN ACT 2606  
AUSTRALIA

Facsimile No. 06 2853929

Authorized officer

J W THOMSON

Telephone No. (06) 2832214

## INTERNATIONAL SEARCH REPORT

International application No. \*

PCT/AU 94/00559 \*

C(Continuation). DOCUMENTS CONSIDERED TO BE RELEVANT		
Category*	Citation of document, with indication, where appropriate of the relevant passages	Relevant to Claim No.
A	US,A, 4992940 (DWORKIN) 12 February 1991 (12.02.91) column 4 lines 35 to 44, column 5 lines 43 to 68	1,3,5

**INTERNATIONAL SEARCH REPORT**

\*Information on patent family memb . . .

International application No.

**PCT/AU 94/00559**

This Annex lists the known "A" publication level patent family members relating to the patent documents cited in the above-mentioned international search report. The Australian Patent Office is in no way liable for these particulars which are merely given for the purpose of information.

Patent Document Cited in Search Report				Patent Family Member			
AU	65762/90	EP	430540	US	5319544		
EP	457000	JP	4229368	US	5265010		
US	4887208	NIL					
US	4992940	US	5025943	EP	333013	SE	463834
END OF ANNEX							

**THIS PAGE BLANK (USPTO)**